

RFP-4-42
SECTION ONE
GENERAL INFORMATION AND REQUESTED PRODUCTS/SERVICES

1.1 INTRODUCTION

The Indiana Department of Administration (IDOA), acting on behalf of Indiana Family and Social Services Administration and Division of Family and Children (IFSSA/DFC) solicits expressions of interest from all persons who wish to be considered as a provider of development and implementation services to IFSSA/DFC. It is the intent of IDOA to solicit responses to this Request for Proposals (RFP) in accordance with the statement of work, proposal preparation section, and specifications contained in this document.

1.2 DEFINITIONS AND ABBREVIATIONS

Following are explanations of terms and abbreviations appearing throughout this RFP. Other special terms may be used in the RFP, but they are more localized and defined where they appear, rather than in the following list.

Acceptance	The designated period following completion of development and implementation services to IFSSA/DFC. During the acceptance period, the State will evaluate all features and performance of development and implementation services to IFSSA/DFC.
IAC	The Indiana Administrative Code.
IC	The Indiana Code.
Implementation	The successful installation of development and implementation services to IFSSA/DFC as specified in the contract resulting from this RFP.
Installation	The delivery and physical setup of products or services requested in this RFP.
Products	Tangible goods or manufactured items as specified in this RFP.
Proposal	An offer as defined in IC 5-22-2-17.
Respondent	An offer or as defined in IC 5-22-2-18.
Services	Work to be performed as specified in this RFP.
State agency	As defined in IC 4-13-16.5-1 <ol style="list-style-type: none">A) An authority, board, branch, commission, committee, department, division, or other instrumentality of the executive, including the administrative department of state government.B) An entity established by the general assembly as a body corporate and politic.C) A state educational institution.

Vendor Any successful respondent selected as a result of the procurement process to deliver the products and services requested by this RFP.

1.3 PURPOSE OF THE RFP

The Indiana Family and Social Services Administration (IFSSA) is seeking proposals for the development and implementation of revised Cost Allocation Plans (CAP), time and effort reporting processes, and related tasks which will result in the maximization of federal funding. This project requires the proper application of State and Federal policies and procedures and the accurate distribution of administrative costs incurred statewide in the management of programs operated by IFSSA. These programs include: Child Welfare; Child Development; First Steps Early Intervention Program; Medical Assistance; Income Maintenance; Food Stamps; Foster Care; Employment and Training; Audit Services; Refugee Assistance; Child Care, Child Support Enforcement; Mental Health; and Disability, Aging and Rehabilitative Services. In Indiana, these programs are primarily administered by the Local Offices of Family and Children.

1.4 SCOPE OF THE RFP

This document contains the following information that may be useful to anyone wishing to submit a proposal:

Section One -- A description of many factors affecting the proposal process and procedures.

Section Two -- A description of the required format and subject content of any acceptable proposals offered in response to this document.

Section Three -- A general discussion of the method that will be used by an evaluation team in selecting a respondent to recommend to State officials with whom to enter contract negotiations.

Attachments -- Details supporting this basic RFP document.

1.5 ISSUING OFFICE

In accordance with Indiana statute, IDOA has issued this RFP on behalf of IFSSA/DFC. The content has been prepared by the staff of IFSSA/DFC and others. This RFP is being posted to the State of Indiana website (<http://www.in.gov/idoa/proc>). One copy of this RFP may be provided free of charge. A nominal fee will be charged for providing additional copies.

1.6 DUE DATE FOR PROPOSALS AND QUESTIONS

All proposals must be received at the address below by the Procurement Division no later than **3 p.m. Eastern Standard Time on March 5, 2004**. Each respondent must submit one original (marked "Original") and **six (6)** complete copies of the proposal, including the transmittal letter and other related documentation as required in this RFP. A complete copy of the proposal must be provided on a 3 ½" diskette and/or on CD-ROM size 650. No more than one proposal per respondent should be submitted. Each copy of the proposal must follow the format indicated in Section Two of this document. Unnecessarily elaborate brochures or other presentations, beyond that sufficient to present a complete and effective proposal, are not desired. All proposals must be addressed to:

Shelley Harris
Procurement Division
Indiana Department of Administration

402 West Washington Street, W468
Indianapolis, IN 46204

All proposal packages must be clearly marked with the RFP number, due date, and time due. Any proposal received by the Procurement Division after the due date and time will not be considered. Any late proposals will be returned, unopened, to the respondent upon request. All rejected proposals not claimed within 30 days of the proposal due date will be destroyed.

No more than one proposal per respondent should be submitted.

The State of Indiana accepts no obligations for costs incurred by respondents in anticipation of being awarded a contract.

All proposals submitted to the State should be double-sided and printed on 30% post-consumer recycled content paper or tree-free paper. When possible, soy ink should be used.

Caution to respondents about shipping/mailling: United States Postal Express and Certified Mail are both delivered to the Government Center Central Mailroom and not directly to the designated department. It is the responsibility of the respondent to make sure that solicitation responses are received by the Procurement Division on or before the designated time and date.

All questions regarding this RFP must be submitted in writing to the above address no later than **3 p.m. Eastern Standard Time on February 13, 2004**. Inquiries may also be submitted via fax (317-234-1281) or email rfp@idoa.state.in.us and must be received by IDOA by the time and date indicated above. Questions submitted after 3 p.m. may not be considered.

Following the question due date, IDOA personnel will assemble a list of the compiled questions asked by all respondents. The responses will be posted to the IDOA website approximately one week after the question due date listed in the RFP timetable, Section 1.26. The Question and Answer link will not become active until IDOA has provided responses to all questions. IDOA reserves the right to judge whether any questions should be answered in writing, and copies will be placed on the Procurement page on the State's web site for downloading, distributed to all prospective respondents who are known to have received a copy of the original RFP, or both. Only answers signed by the Director of the Procurement Division or designee or posted on the State's web site will be considered official and valid by the State. No negotiations, decisions, or actions shall be initiated by any respondent as a result of any verbal discussion with any State employee.

Inquiries are not to be directed to any staff member of IFSSA/DFC. Such action may disqualify respondent from further consideration for a contract as a result of this RFP.

1.7 PRE-PROPOSAL CONFERENCE

It is the decision of the State that no pre-proposal conference is required for this RFP.

1.8 MODIFICATION OR WITHDRAWAL OF OFFERS

Responses to this RFP may be modified or withdrawn in writing or by fax notice received prior to the exact hour and date specified for receipt of proposals. The respondent's authorized representative may also withdraw the proposal in person, providing his or her identity is made

known and he or she signs a receipt for the proposal. Proposals may not be withdrawn after the proposal due date and time has passed.

Modification to or withdrawal of a proposal received by the Procurement Division after the exact hour and date specified for receipt of proposals will not be considered. If it becomes necessary to revise any part of this RFP or if additional data is necessary for an exact interpretation of provisions of this RFP prior to the due date for proposals, a supplement will be posted by the Procurement Division to the State of Indiana website. If such addenda issuance is necessary, IDOA reserves the right to extend the due date and time of proposals to accommodate such interpretations or additional data requirements.

1.9 PRICING

IDOA requests the pricing associated with this RFP be a firm proposal price that must remain open and in effect for a period of not less than 180 days from the proposal due date.

Respondents must submit one total cost for the services required within this RFP with a break down of cost on each section item (I. Cost Allocation/Allowable Costs, II. Licensing, III. Title IV-E and Title IVA-EA, IV. Rate Establishment and Claiming, V. Supplemental Security Income (SSI) Eligibility and VI. ICWIS Assistance) listed in Section 2.4.

IFSSA/DFC and IDOA recognize there are certain industry practices for service providers. However, the Departments encourage respondents, in their responses to the RFP, to be as creative as possible regarding cost to the State, as cost efficiency for the State will be a consideration in determining whether a contract(s) will be awarded based on responses to the RFP and the selection of a service provider.

1.10 DISCUSSION FORMAT

The State reserves the right to conduct discussions, either oral or written, with those respondents determined by the State to be reasonably viable to being selected for award. If discussions are held, the State may request best and final offers. IDOA Procurement will schedule all discussions. Any information gathered through oral discussions should be confirmed in writing.

The request for best and final offers may include:

- Notice that discussions are concluded.
- Notice that this is the opportunity to submit written best and final offers.
- Notice of the date and time for submission of the best and final offer.
- Notice that if any modification is submitted, it must be received by the date and time specified or it will not be considered.
- Notice of any changes in the State's requirements.

The State reserves the right to reject any or all proposals received or to award, without discussions or clarifications, a contract on the basis of initial proposals received. Therefore, each proposal should contain the respondent's best terms from a price and technical standpoint. The State reserves the right to reopen discussions after receipt of best and final offers if it is clearly in the State's best interest to do so and the Director of the Procurement Division or designee makes a written determination of that fact. If discussions are reopened, the State may issue an additional request for best and final offers from all respondents determined by the State to be reasonably susceptible to being selected for award.

Following evaluation of the best and final offers, the State may select for negotiations the offers that are most advantageous to the State, considering price or cost and the evaluation factors in the RFP.

The State also reserves the right to conduct clarifications to resolve minor issues. If only clarifications are sought, best and final offers may not be requested. The State retains sole authority to determine whether contact with respondents is for clarification or discussion.

1.11 CONTRACT NEGOTIATIONS

After recommendation of a selected respondent by appropriate officials of the State, contract negotiations will commence. The contract will be based primarily on the required clauses of the State as indicated in the State contract as appears in Attachment B of this document; secondly, on those required clauses by the respondent that are acceptable to the State; and, additionally, on any desirable clauses that either party would like to incorporate into the contract. If at any time contract negotiation activities are judged to be ineffective by the Commissioner of IDOA or designee, IDOA will cease all activities with that respondent and begin contract negotiations with the next highest ranked respondent. This process may continue until either both the respondent and the State of Indiana execute a completed contract or IDOA determines that no acceptable alternative proposal exists.

1.12 REFERENCE SITE VISITS

The State may request a site visit to a respondent's working support center to aid in the evaluation of the respondent's proposal.

1.13 TYPE AND TERM OF CONTRACT

The State of Indiana intends to sign a contract with one or more respondent(s) to provide the complete set of products and services listed in this RFP. The State will not entertain joint bids.

The term of this contract shall be for a period of four (4) years, beginning July 1, 2004 (or from date of final State approval of contract), and ending four year from date of State approval of contract and may not be renewed.

1.14 CONTRACT OBLIGATIONS

Attachment B of this document is the form of the expected contract resulting from this RFP. Although the State anticipates that any respondent submitting a proposal will provide the major portion of the products and services as requested, subcontracting by the respondent is acceptable in performing the requirements of this RFP. However, the respondent must obtain the approval of IDOA before subcontracting any portion of the project's requirements. The respondent is responsible for the performance of any obligations that may result from this RFP and shall not be relieved by the non-performance of any subcontractor. Any respondent's proposal must identify all subcontractors and outline the contractual relationship between the respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal. This RFP is subject to the Minority Business and Women's Enterprise Program. The requirements are explained elsewhere in the RFP.

Any subcontracts entered into by the respondent must be in compliance with all State of Indiana statutes and be subject to the provisions thereof. For each portion of the proposed products and services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience.

The combined qualifications and experience of the respondent and any or all subcontractors will be considered in the State's evaluation. The respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the respondent must be made available upon request for inspection and examination by appropriate State officials and such relationships must meet with the approval of the State.

1.15 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Indiana Public Records Act, IC 5-14-3 *et seq.*, and, after the contract award, may be viewed and copied by any member of the public, including news agencies and competitors. Respondents claiming a statutory exception to the Indiana Public Records Act must place all confidential documents (including the requisite number of copies) in a sealed envelope clearly marked "Confidential" and must indicate in the transmittal letter and on the outside of that envelope that confidential materials are included. The respondent must also specify which statutory exception provision applies. The State reserves the right to make determinations of confidentiality. If the State does not agree that the information designated is confidential under one of the disclosure exceptions to the Indiana Public Records Act, it may either reject the proposal or discuss its interpretation of the allowable exceptions with the respondent. If agreement can be reached, the proposal will be considered. If agreement cannot be reached, the State will remove the proposal from consideration for award and return the proposal to the respondent. The State will not determine prices to be confidential information.

1.16 STATE OF INDIANA OBLIGATIONS

The State of Indiana accepts no obligations for costs incurred by respondents in anticipation of being awarded a contract.

The State of Indiana creates no obligation, expressed or implied, by issuing this RFP or by receipt of any responses submitted pursuant hereto. The award of any contract(s) as a result of this RFP shall be at the sole discretion of IFSSA/DFC and IDOA. Neither this RFP nor any response (proposal) submitted hereto are to be construed as a legal offer.

1.17 CONTRACT COMPONENTS

Any or all portions of this RFP and normally any or all portions of the respondent's response will be incorporated by reference as part of the final contract. Proprietary or confidential material submitted properly (see Section 1.15) will not be disclosed.

1.18 PROPOSAL LIFE

All proposals made in response to this RFP must remain open and in effect for a period of not less than 180 days after the due date for proposals. Any proposal accepted by the State for the purpose

of contract negotiations shall remain valid until superseded by a contract or until rejected by the State.

1.19 TAXES

The State of Indiana is exempt from federal, state, and local taxes. The State will not be responsible for any taxes levied on the respondent as a result of the contract resulting from this RFP.

1.20 SECRETARY OF STATE REGISTRATION

In accordance with IC 5-22-16-4, before an out-of-state respondent can do business with the State, the respondent must be registered with the Indiana Secretary of State. If an out-of-state respondent does not have such registration at present, the respondent should contact

Secretary of State of Indiana
Corporation Division
302 West Washington Street, E018
Indianapolis, IN 46204
(317) 232-6576

for the necessary application form. It is each respondent's responsibility to register prior to the initiation of any contract discussions.

1.21 EQUAL OPPORTUNITY COMMITMENT

Pursuant to IC 4-13-16.5 and in accordance with 25 IAC 5-5-3, the Director of the Procurement Division of IDOA has determined that there is a reasonable expectation of minority and woman business enterprise participation in this contract. Therefore a contract goal of 1 % minority business enterprise participation and 1 % woman business enterprise participation has been established and all respondents will be expected to comply with the regulation set forth in 25 IAC 5-5-3.

Compliance with these regulations will be taken into consideration during the evaluation phase of the RFP process.

1.22 MINORITY & WOMEN'S BUSINESS ENTERPRISE PARTICIPATION PLAN

In accordance with 25 IAC 5 1-8, The respondent must submit within the proposal a Minority and Women's Business Enterprise participation plan or make an application for waiver from the contract goal. Failure to provide the minority and women's business participation plan or to make an application for waiver of the participation goal at the time of proposal submission may result in the disqualification and rejection of the proposal. Please note that IDOA reserves the right to verify all information included on minority and women's business enterprise participation plans and applications for waiver from the contract goal before making final determinations of the respondent's responsiveness.

Additionally, the plan must show that there are racial minority owned enterprises and women owned enterprises participating in the contract. The participation can be, but is not limited to, a subcontractor or second tier participation with common suppliers such as office supplies, courier services and/or janitorial services. The respondent submitting an offer must indicate the name of the racial and women owned firms that will participate in the award, a contact name and phone number, the service to be supplied and the specific dollar amount from this contract that will be directed toward each firm.

A respondent can and must submit an application for a waiver if minority and women participation cannot be achieved. However, the respondent is expected to demonstrate a good faith effort to meet the participation goal of 1 % for minority participation and 1 % for women owned business participation. A good faith effort consists of documenting the effort that was made to achieve the goal. The same information supplied on the plan must be supplied on a waiver. (See above paragraph) Respondents are encouraged to contact and work with the Minority Business and Women's Enterprise Division of the Indiana Department of Administration to design a plan to meet established goals. The Minority Business and Women's Enterprise Division's website address is as follows: www.in.gov/idoa/minority.

By submission of the proposal, the respondent thereby acknowledges and agrees to be bound by the regulatory processes involving the State of Indiana's Minority and Women's Business Enterprise Program. Questions involving the regulations governing the minority and women's business enterprise participation plan and the application for waiver from the contract goal should be directed to:

Minority Business and Women's Enterprise Division
Indiana Department of Administration
402 W. Washington St., Room W469
Indianapolis, IN 46204
(317) 233-6607

1.23 U.S. MANUFACTURED

Each proposal must contain an explanation of what steps will be used to encourage the use of American-made products. The State does apply a U.S. Manufactured preference as set out in IC 5-22-15-21.

1.24 RECYCLED PRODUCTS

Each proposal should contain an explanation of what recycled materials are used and identify the recyclability of products offered in response to this RFP.

1.25 AMERICANS WITH DISABILITIES ACT

The respondent specifically agrees to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq.* and 47 U.S.C. 225).

1.26 SUMMARY OF MILESTONES

The following timeline is only an illustration of the RFP process. The dates associated with each step are not to be considered verbatim. Due to the unpredictable nature of the evaluation period, these dates are commonly subject to change. At the conclusion of the evaluation process all respondents will be informed of the evaluation team's findings, according to the choice of notification they selected in Attachment C.

<u>ACTIVITY</u>	<u>COMPLETION DATE</u>
Respondent inquiry period ends	February 13, 2004
Final State responses to inquiries	February 20, 2004
Proposal submission date	March 5, 2004
Notice of discussions*	March 16, 2004
Discussions*	March 23, 2004
Request for best and final offers (BAFO)*	March 30, 2004
Receipt of best and final offers*	April 6, 2004
Proposal evaluation completed*	April 12, 2004
Recommendation to IDOA*	April 13, 2004
Notify selected respondent	April 20, 2004
Contract negotiations begin*	April 23, 2004
Contract negotiations end*	April 26, 2004
Negotiated contract readied*	April 27, 2004
Contract signed by respondent*	April 28, 2004
State review begins*	April 29, 2004
State review ends*	May 28, 2004
Receipt of State approval*	July 1, 2004

** These dates are subject to the determination of the need for discussions. If discussions are not required, the process could reach a completion date at least four weeks earlier than the listed date for contract signature.*

SECTION TWO PROPOSAL PREPARATION INSTRUCTIONS

2.1 GENERAL

To facilitate the timely evaluation of proposals, a standard format for proposal submission has been developed and is documented in this section. All respondents are required to format their proposals in a manner consistent with the guidelines described below:

- Each item must be addressed in the respondent's proposal or the proposal may be rejected.
- The transmittal letter should be in the form of a letter. The business and technical proposals must be organized under the specific section titles as listed below.
- The State may, at its option, allow all respondents a five-calendar-day period to correct errors or omissions to their proposals. Should this necessity arise, the State will contact each respondent affected. Each respondent must submit written corrections to the proposal within five calendar days of notification. The intent of this option is to allow proposals with only minor errors or omissions to be corrected. Major errors or omissions, such as the failure to include prices, will not be considered by the State as a minor error or omission and may result in disqualification of the proposal from further evaluation.

2.2 TRANSMITTAL LETTER

The Transmittal Letter must address the following topics except those specifically identified as "optional."

2.2.1 Summary of Ability and Desire to Supply the Required Products and Services

The transmittal letter must briefly summarize the respondent's ability to supply the requested products and services that meet the application requirements defined in Section Three of this RFP. The letter must also contain a statement indicating the respondent's willingness to provide the requested products and services subject to the terms and conditions set forth in the RFP including, but not limited to, the State's mandatory contract clauses.

2.2.2 Signature of Authorized Representative

A person authorized to commit the respondent to its representations and who can certify that the information offered meets all general conditions including the information requested in Section 2.3.4, must sign the transmittal letter. Such person's authority to so act must be consistent with the information contained in Section 2.2.1 of this RFP. **In the transmittal letter please indicate the principal contact for the proposal along with an address, telephone, and fax number.**

2.2.3 Respondent Notification Request

Attachment C provides respondents an opportunity to indicate the preferred method of notification of the vendor selection made for this solicitation. Unless otherwise indicated, respondents will be notified via U.S. mail with the assumption of delivery within 3 business days. If there is no preference in this regard, Attachment C does not need to be submitted with the respondent's proposal and notification will be made by U.S. mail.

It is the respondent's obligation to notify the Procurement Division of any changes in address that may have occurred since the origination of this solicitation. The Procurement Division will not be held responsible for incorrect vendor/contractor addresses.

2.2.4 Other Information

This item is optional. Any other information the respondent may wish to briefly summarize will be acceptable.

2.3 BUSINESS PROPOSAL

The Business Proposal must address the following topics except those specifically identified as "optional."

2.3.1 General

This optional section of the business proposal may be used to introduce or summarize any information the respondent deems relevant or important to the State's successful acquisition of the products and services requested in this RFP.

2.3.2 Respondent Company Structure

The legal form of the respondent's business organization, the state in which incorporated (if a corporation), the types of business ventures in which the organization is involved, and a chart of the organization are to be included in this section. If the organization includes more than one product division, the division responsible for the development and marketing of the requested products and services in the United States must be described in more detail than other components of the organization.

2.3.3 Company Financial Information

This section must include the respondent's financial statement, such as an income statement or balance sheet, for each of the two most recently completed fiscal years. The financial statements must demonstrate the respondent's financial stability. If the organization includes more than one product division, separate financial statements must be provided for the division responsible for the development and marketing of the requested products and services.

2.3.4 Integrity of Company Structure and Financial Reporting

This section must include a statement indicating that the CEO and/or CFO has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The particular areas of interest to the State in considering corporate responsibility, which are mandatory, include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the firm assures board integrity, the separation of audit functions and consulting services. The State of Indiana will

consider the information offered in this section to determine the responsibility of the offer or per IC 5-22-16-1(d).

Federal law H.R. 3763, the “Sarbanes Oxley Act of 2002” is NOT directly applicable to this acquisition, however, its goals and objectives were used to develop our mandatory areas of interest.

2.3.5 Facilities and Resources

The respondent should include information with regard to the organization’s resources that it deems advantageous to the successful provision of the requested products and services. This might include management capabilities and experience, technical resources, and operational resources not directly assigned to this project, but available if needed.

2.3.6 Required Contract Clauses

Indiana law requires the inclusion of certain language in all contracts. Also, the nature of the products and services requested in this RFP may present a need for the inclusion of certain commitments in any contract resulting from this RFP. Attachment B of this document contains a sample contract that could be similar to the one resulting from this RFP. Some clauses within the sample contract are mandatory and other clauses are desirable to the State. NOTE: Those clauses that are mandatory are as follows:

- Duties of contractor, rate of pay, and term of contract
- Conflict of Interest
- Drug-free workplace provision and certification
- Funding Cancellation
- Non-collusion and Acceptance
- Non-discrimination clause

Respondents should review these clauses in detail because a specific agreement to these clauses is required in the Transmittal Letter. If a respondent wishes to suggest alternative wording for one or more of these mandatory clauses without changing the intent, these suggestions may, at the respondent’s option, be documented in this section of the Business Proposal. The respondent’s suggested language will be considered by the State during the contract negotiation process. The State’s willingness to consider alternative language does not change the requirement that the respondent agree in the Transmittal Letter to the acceptance of the State mandatory clauses as written.

Attachment B also includes a number of desirable clauses that the State seeks to include in any contract resulting from this RFP but which it does not consider mandatory. For each of these desirable clauses, the respondent should either indicate that the desired clause is acceptable as worded; suggest specific alternative wording to address issues raised by the specific clause; or indicate the desired clause is unacceptable and state why. Any language required by a respondent that is unacceptable to the State may lead to the rejection of that respondent’s proposal.

2.3.7 Pricing and Charges

The State requests the pricing associated with this RFP be a firm proposal price that must remain open and in effect for a period of not less than 180 days from the proposal due date as well as any extensions agreed to in the course of contract negotiations.

Respondents must submit one total cost for the services required within this RFP with a break down of cost on each section item (I. Cost Allocation/Allowable Costs, II. Licensing, III. Title IV-E and Title IVA-EA, IV. Rate Establishment and Claiming, V. Supplemental Security Income (SSI) Eligibility and VI. ICWIS Assistance) listed in Section 2.4.

2.3.8 References

The respondent should include a list of at least four (4) clients for whom the respondent has provided products and services that are the same or similar to those products and services requested in this RFP. Any state government for whom the respondent has provided these products and services should be included; also to be included should be clients with locations near Indianapolis, as site visits may be arranged. Information provided should include the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information. The more similar the referenced products and services are to those requested in this RFP, a greater weight may be attached to the references in the State's evaluation process.

During the past seven years, please briefly indicate whether your firm has had any contracts terminated for cause, experienced any federal disallowances for federal claims filed on behalf of clients, paid penalty or liquidated damages or experienced any other financial or staffing sanctions under contracts with state clients.

2.3.9 Registration to do Business

Selected out-of-state respondents providing the products and/or services required by this RFP must be registered to do business within the state by the Indiana Secretary of State. The address contact information for this office may be found in Section 1.20 of this RFP. This process must be concluded prior to contract negotiations with the State. It is the successful respondent's responsibility to complete the required registration with the Secretary of State. The respondent must indicate the status of registration, if applicable, in this section of the proposal.

2.3.10 Authorizing Document

Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or

a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement.

2.3.11 Subcontractors

The respondent must list any subcontractor's name, address and state of incorporation that are proposed to be used in providing the required products and services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, the subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the respondent of any responsibilities in responding to this RFP or in completing the commitments documented in the proposal. The respondent must indicate which, if any, subcontractors qualify as a Minority or Women Owned Business under IC 4-13-16.5-1. See Section 1.22 and Attachment A for Minority and Women Business information.

2.3.12 Respondent Contract Requirements

This section is optional. If the respondent wishes to include any language other than that discussed in the Business Proposal, this language should be included in this section. For each clause included in this section, the respondent should indicate that the clause is required by the respondent in any contract resulting from this RFP and why it is required (if the required clause is unacceptable to the State, the respondent's proposal may be considered unacceptable) or indicate that the clause is desired (but not required) by the respondent in any contract resulting from this RFP.

2.4 TECHNICAL PROPOSAL

The Technical Proposal must be divided into the sections as described below. Every point made in each section must be addressed in the order given. The same outline numbers must be used in the response. RFP language should not be repeated within the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the technical proposal must contain a meaningful summary of the referenced material. The referenced document must be included as an appendix to the technical proposal with referenced sections clearly marked. If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State.

FSSA seeks, at a minimum, the following consulting services:

I. COST ALLOCATION/ALLOWABLE COSTS

- A. Prepare Indirect Cost Plans for FSSA including the development and modification, as necessary, of cost allocation plans to comply with applicable federal laws and regulations, including OMB Circular A-87, Cost Principles for State and Local Governments; and, A-87, Implementation Guide, ASMB C-10.

- B. Perform time and effort sampling to identify and charge level-of-effort to the appropriate programs administered by FSSA. Time and effort processes will:
 - 1. meet all federal Department of Health and Human Services standards and requirements;
 - 2. meet standards and requirements established by other federal agencies;
 - 3. be proven, time-tested, statistically valid, and federal acceptable;
 - 4. include standard reports;
 - 5. include a sample selection process; and
 - 6. be operated primarily by respondent staff in coordination with FSSA Financial Management and Division of Family and Children Policy Staff, as appropriate.
 - 7. Implementation of e-mail polling
- C. Assist the State in managing administrative costs in order to maximize allowable administrative revenue and minimize exposure to federal disallowances.
- D. Assign a cost allocation specialist to work on-site with FSSA Financial Management staff.
- E. Develop, implement and maintain a process for identifying and claiming associated with training and other child welfare related contracts. This would include training provided by all Office of Family and Children relating to Child Welfare programs administrated by the State of Indiana and make necessary changes to the CAP and IV-B State Plan. The process needs to included costs associated with training public assistance case workers, child welfare family case managers, foster parents, adoptive parents, child care workers in residential facilities, LCPA's, bookkeepers, services providers, county attorneys, judges, and Healthy Family Workers/Supervisors, etc. Implementation and maintain means contractor will complete the cost allocation of claims.
 - 1. Identify contracts that may be claimed under federal funds within the Division of Family and Children (DFC).
 - 2. Analyze each contract to determine what is claimable under federal programs and the appropriate claiming percentage and Federal Financial Participation (FFP) rates.
 - 3. Identify and make changes to the State-approved Title IV-E training plans and Cost Allocation Plan based on State approval of the new process.
 - 4. Develop appropriate allocation methodologies.
 - 5. Develop and maintain claiming protocol and processes.
- F. For the First Steps early intervention system (see Part C of the Individuals with Disabilities Act, 20 U.S.C. 1431 et seq.), the respondent will develop, design, implement and enhance random moment sampling processes to be applied to components of the system including but not limited to the following: System Points of Entry (SPOEs), Local Planning and Coordinating Councils (LPCCs), Unified Training System, Quality Assurance and Utilization and Review, and the Central Reimbursement Office (CRO) including claims processing and provider enrollment activities. For implementation and ongoing operation the respondent will provide training using a train the trainer approach and produce a manual to assist staff completing or supervising the RMS Process. The respondent will also

on an ongoing basis carry out the following activities: conduct data entry of sample observation sheets; conduct file maintenance and update files as staff and organizations change; apply quarterly financial results from the sampling system; provide standardized RMS reports upon request for prior periods; and perform tasks involved in generating the administrative portion of the associated federal (Medicaid) or state (ISDH Children's Special Health Care Services) claims including providing the quarterly summary report on which the federal or state administration reports are based.

- G. The respondent will perform in depth time and effort sampling and salary surveys and review of performance indicators on a periodic basis in order to validate the basis for allocation of operating funds to LPCCs and regional SPOEs, determine the effectiveness and efficiency of those sampled and identify best practices in operations to be used statewide. Sampling will be for defined periods (two to four weeks) and required at a minimum on a biennial basis. The respondent should build on the ongoing random moment sampling processes, compiling time study results and validating the results with those from the RMS. The respondent will utilize data from the First Steps system databases and/or claim systems for the review of effectiveness and determination of best practices. Respondent will determine the sample size for obtaining statistical validity then the respondent will provide training on the time study and how to accurately complete the 100% time and effort study forms. The respondent will provide technical assistance as needed for the following: Review of existing methods of allocating First Steps dollars to the SPOEs and LPCCs; Determination of operations best practices; and recommendations for modification to allocation methods and business practices as required.
- H. Set up and maintain a system for maximizing state and local funding for match and MOE (Maintenance of Effort) for federal programs. This would include all federal funding that comes through the DFC. The system needs to include but not limited to TANF, IV-B Part I and II. Independent Living, SSBG, CBFRS, Title IV-E.
 - 1. Identify all state and local funding contracts that may be possible match or MOE (Maintenance of Effort) funds.
 - 2. Analyze each funding stream to determine requirements.
 - 3. Identify and make changes to current methods.
 - 4. Develop appropriate methodologies.
 - 5. Develop and maintain process.
- I. Validate Penetration Rates
 - 1. Use ICWIS data to independently calculate/verify State IV-E penetration rate.
- J. Design and Maintain Common Front End Cost Allocation Methodology
 - 1. Develop and maintain cost allocation process to appropriately allocate charges among applicable programs.

K. Design and maintain various cost allocation/revenue recovery methodologies that may be deemed necessary at future intervals.

1. Develop and maintain cost allocation process to appropriately allocate charges among applicable programs.

II. LICENSING

A. Complete an overview of Licensing. Suggest changes that need to be made in order for the process to be more effective and efficient and compliant with State and Federally mandated policies and procedures. This requirement involves policy development and maintenance which includes the development and writing of policy for licensing with state approval.

1. Identify weaknesses/omissions in licensing that could be problematic during an audit or other review process and make suggestions on corrective action.
2. Develop, write and maintain policy and procedures with State approval.

B. Licensing coordination and documentation

1. Provide management of document flow and maintenance for DFC licensing unit. Ensure timely notification of facilities, maintain log of documentation submission and ongoing records compliance issue. Prepare all required information for licensing studies and inspections (to be completed by State).

III. TITLE IV-E AND TITLE IVA-EA

A. Best Practice Implication

1. Utilize best established practices to develop and maintain regional eligibility determination/validation staff with focus on largest counties/concentration of Title IV-E eligible children. Provide case management training, technical assistance and materials development. Review and make recommendations on all cases currently considered or claimed as IV-E eligible in preparation for follow-up audits.

B. Prepare OFC's for federal audit review.

C. Provide Technical support during Federal Audit.

1. The selected contracting entity will participate with DFC staff in a supporting capacity during Indiana's Federal IV-E FC audits.

D. Program, Policy and Procedural Reviews for Eligibility, Training and

Licensure.

1. The selected respondent will perform program, policy and procedural reviews for eligibility, training and licensure. A thorough review of State and Federal rules and regulations, analysis of these or any changing rules or regulations during the term of the contract, and written interpretation and recommendations for changes or enhancement to the appropriate State staff in a timely manner.

E. Program Quality Recommendations

1. The selected respondent will provide written recommendations with respect to enhancements to program quality, effectiveness and efficiency. Respondent will be responsible for development, implementation and maintenance of overall quality assurance of some aspects of the process with State approval and guidance.

F. Standard Contract Language

1. Implement and alter current recommendations for use by OFCs when placing children in an eligible IV-E FC facility/LCPA on an as needed basis.

G. Draft Interagency Agreements

1. Review Interagency agreements as necessary to insure continued compliance with IV-E regulations.
2. If changes are required in the Interagency agreements draft and maintain agreements.

H. Provide IV-E, AA, TANF EA Technical Assistance, Update State Plans as Necessary

1. The selected respondent will provide technical assistance with regard to IV-E Foster Care and Adoption Assistance. The contracting entity will also be expected to provide Title IV-A Emergency Assistance (EA) technical assistance. This requirement involves policy development and maintenance of the IV-B, IV-E State Plans and to develop and write policy for above programs with state approval. Assistance must be provide with regard to input from the federal level; other states/agencies; interpretation of law and regulation; policy/procedure; and implementation.

IV. Rate Establishment and Claiming

- A. Develop, revise and process cost reports from LCPA's & RCC's
- B. Develop and operate INRCC & LCPA RMS systems

C. Identify IV-E eligibility of RCC

1. Identify IV-E eligibility of residential child caring facilities and LCPAs licensed by the State Division of Family and Children.

D. Identify and report facility eligibility, inconsistencies or license status changes

1. Incorporate as portion of monthly claiming process.

E. Establish and Implement procedures for coordinating data between all bookkeeping functions both FSSA and Local OFC's with ICWIS.

1. Incorporate work as part of claiming process.

F. Review IV-E 1 claiming documentation

1. Assist in the compilation and submission of quarterly IV-E 1.

G. Conduct financial reviews of cost reports submitted by RCC's and LCPA's

H. Residential Care Claiming

1. Process monthly claims for residential care facilities and LCPA's and develop IV-E claims and reimbursement summary for counties.

I. Establish a procedure for the review of county foster care per diems (both current and ongoing) and the costs included in these per diems to determine if these costs are allowable according to federal Title IV-E Foster Care rules and regulations. Redevelop and maintain county and/or regionally based rates. Ensure that all allowable costs are claimed.

J. Provide Financial Management training for bookkeepers

1. Develop core process and incorporate training into implementation process.

K. Develop and maintain a system for claiming Title IV-E, AA and Title IV-A EA for audit satisfaction.

V. Supplemental Security Income (SSI) Eligibility

A. Incorporate the following task into regional eligibility determination staff responsibilities.

1. The selected respondent must specify how the following services will be provided with regard to the eligibility of children served by the Bureau of Family Protection and Preservation for SSI.

- a. Taking SSI application

- b. Scheduling and/or obtaining necessary medical evaluations/documentation needed to substantiate disability
- c. Submission of applications to the Social Security Administration for an eligibility determination and tracking the status of the pending application
- d. Tracking the re-evaluation due dates and initiation of appropriate action
- e. Representation of the State at appeal hearings

VI. Indiana Child Welfare Information System (ICWIS)

A. ICWIS Assistance

1. Complete audit of ICWIS system, develop recommendations, provide review of future system migration.

2.5 MINORITY & WOMEN'S BUSINESS ENTERPRISES PARTICIPATION PLAN

A properly completed and signed MWBE Participation Plan or Waiver (Attachment A) must be included as part of the proposal. Respondents must indicate the name of the racial minority and woman owned firm(s) with which it will work; the contact name and phone number at the firm(s); the service supplied by the firm(s); and the specific dollar amount from this contract that will be directed toward each firm. If the above mentioned goals (1.21) can not be achieved by directing proceeds from this contract toward racial minority and woman owned enterprises, the respondent may demonstrate that an amount, equal to each of the above goals, of the firms overall annual proceeds (from all business) are directed to racial minority and/or woman owned enterprises. Please note: Respondents' claims for participation will be validated prior to contract award.

SECTION THREE PROPOSAL EVALUATION

3.1 PROPOSAL EVALUATION PROCEDURE

The State of Indiana has selected a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation personnel will use the evaluation criteria stated in Section 3.2.

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

- 3.1.1 Each proposal will be evaluated for form on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements will normally be eliminated from consideration. Respondents should note that agreement to the State's mandatory contract clauses is required in the Transmittal Letter and will be evaluated for such under the form category.
- 3.1.2 Each proposal will be evaluated on the basis of the categories included in Section 3.2. A point/percentage score will be established for each category.
- 3.1.3 If technical proposals are close to equal, greater weight could be given to price.
- 3.1.4 Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State, taking into account all of the evaluation factors, may be selected by IDOA and IFSSA/DFC for further action, such as contract negotiations. If, however, IDOA and IFSSA/DFC decide that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the respondent, IDOA may begin contract preparation with the next qualified respondent or determine that no such alternate proposal exists.

3.2 EVALUATION CRITERIA

Proposals will be evaluated based upon the proven ability of the respondent to satisfy the requirements of the RFP in a cost-effective manner. Each of the evaluation criteria categories is described below with a brief explanation of the basis for evaluation in that category. The percentage of the total point score associated with each category is indicated following the category name.

- 3.2.1 Knowledge and Experience of Respondent and Proposed Staff (24%)
Respondents will be evaluated based on their demonstrated knowledge and experience in addition to the staff proposed.
- 3.2.2 Quality of Technical Approach (24%)
Respondents will be evaluated based on the quality of their technical approach.
- 3.2.3 Overall Management Judgment (24%)

Respondents will be evaluated based on their demonstrated overall management judgement.

3.2.4 Total Cost (25%)

Each respondent's proposed one-total cost for the services required within this RFP, with a break down of cost on each section item (I. Cost Allocation/Allowable Costs, II. Licensing, III. Title IV-E and Title IVA-EA, IV. Rate Establishment and Claiming, V. Supplemental Security Income (SSI) Eligibility and VI. ICWIS Assistance) will be evaluated.

3.2.5 Minority & Women's Business Participation Plan (3%)

See Section 2.5 Minority & Women's Business Enterprises Participation Plan.

All proposals will be reviewed by members of IFSSA/DFC and IDOA. References may be contacted. It is possible that persons participating in the selection process, through IDOA, will interview finalists. The Commissioner of IDOA or his designee will, in the exercise of his sole discretion, determine which proposals offer the best means of servicing the interests of the State. The exercise of this discretion will be final.